

UTI International (France) SAS

(“UTI IF”)



**Complaints management policy
V2024**

SUMMARY

I. COMPLAINT RECEPTION	3
II. COMPLAINT HANDLING	3
III. REGISTRATION OF THE COMPLAINT	4
IV. CORRECTIVE ACTIONS	4
V. INTERNAL CONTROL	4
VI. APPLICABLE REGULATIONS	4
6.1 INSTRUCTION AMF	4
6.2 COMMISSION DELEGATED REGULATION (EU) 2017/565 OF 25 APRIL 2016	4

I. Complaint reception

A complaint is a statement of the client's dissatisfaction with the service rendered by UTI IF. A request for information, advice, clarification, service or benefit is not a complaint.

Any client wishing to send a complaint to UTI IF is requested to send a letter to the following address:

UTI International (France) SAS
25 rue du 4 septembre
75002 Paris

Or to the following email address:
sandrine.hadrys@utifunds.com

The clients' complaint management cannot be subject to any fee to the client.

II. Complaint handling

Any UTI IF employee who receives a complaint from a client shall immediately forward it to the Managing Director/RCSI.

The time limit for acknowledging receipt of the complaint

UTI IF will acknowledge receipt of the complaint within a maximum period of 10 days from the date of receipt, by the same means as that used for the complaint, unless it is made by telephone: receipt must be acknowledged in writing.

Complaint processing time

UTI IF undertakes to investigate and resolve the complaint within a maximum period of 60 days following the date of receipt, unless an exceptional extension is approved by the Managing Director/RCSI.

Access to Mediation

In the event of inadequacy of the response determined by the complainant, mediation may be made by written mail to:

UTI International (France)
25 rue du 4 septembre
75002 Paris

Or to the following email address:
sandrine.hadrys@utifunds.com

Finally, if all the means implemented by UTI IF have not made it possible to rule on a solution deemed acceptable by the client, the latter may refer the matter to the AMF mediator:

Médiateur de l'AMF
Autorité des marchés financiers
17 place de la Bourse
75082 PARIS CEDEX 02

A request for mediation form is available online on the AMF website: <http://www.amf-france.org>

III. Registration of the complaint

Upon receipt of a complaint, it is recorded in a register (see appendix) which specifies:

- its reference number,
- the name of the client
- the subject of the complaint,
- the method of delivery used
- the date of sending
- the date of receipt
- the date of acknowledgment of receipt
- the date of the response
- The resolution
- Identified root cause/ lapses
- Corrective action implemented

IV. Corrective Actions

UTI IF will endeavour to implement preventive corrective actions to avoid the malfunctions identified if necessary.

Corrective actions are also reported in the complaints register.

V. Internal control

The control of customer complaints registrar is carried out annually by the Managing Director / RCSI who verifies that the complaints have been escalated and the procedure followed.

As part of the permanent control plan, checks are conducted quarterly to determine that complaints received have been processed in accordance with this policy. Such control results are included in the quarterly reports.

VI. Applicable Regulations

6.1 Instruction AMF

AMF Instruction No. 2012-07 amended on 04/07/2023 with effect from 01/01/2024

6.2 Commission Delegated Regulation (EU) 2017/565 of 25 April 2016

Supplementing Directive 2014/65/EU of the European Parliament and of the Council

Article 26 Complaints handling (Article 16(2) of Directive 2014/65/EU)

1. Investment firms shall establish, implement and maintain effective and transparent complaints management policies and procedures for the prompt handling of clients' or potential clients' complaints. Investment firms shall keep a record of the complaints received and the measures taken for their resolution. The complaints management policy shall provide clear, accurate and up-to-date information about the complaints handling process. This policy shall be endorsed by the firm's management body.

2. Investment firms shall publish the details of the process to be followed when handling a complaint. Such details shall include information about the complaints management policy and the contact details of the complaints management function. The information shall be provided to clients or potential clients, on request, or when acknowledging a complaint. Investment firms shall enable clients and potential clients to submit complaints free of charge.

3. Investment firms shall establish a complaints management function responsible for the investigation of complaints. This function may be carried out by the compliance function.

4. When handling a complaint, investment firms shall communicate with clients or potential clients clearly, in plain language that is easy to understand and shall reply to the complaint without undue delay.

5. Investment firms shall communicate the firm's position on the complaint to clients or potential clients and inform the clients or potential clients about their options, including that they may be able to refer the complaint to an alternative dispute resolution entity, as defined in Article 4(h) of Directive 2013/11/EU of the European Parliament and the Council (1) on consumer ADR or that the client may be able to take civil action. 6. Investment firms shall provide information on complaints and complaints-handling to the relevant competent authorities and, where applicable under national law, to an alternative dispute resolution (ADR) entity.

7. Investment firms' compliance function shall analyze complaints and complaints-handling data to ensure that they identify and address any risks or issues.